

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name. I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **DIFFUSER MASTER AND METHOD OF MANUFACTURE** which is described and claimed in

- [] the attached specification.
 [X] the specification in application Serial No. 09/137,398 filed on August 20, 1998
 [] international (PCT) application No. _____ filed on _____
 and as amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is known to be material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Claimed

(Number)	(Country)	(Day/Month/Year Filed)	[] Yes [] No
(Number)	(Country)	(Day/Month/Year Filed)	[] Yes [] No
(Number)	(Country)	(Day/Month/Year Filed)	[] Yes [] No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is known to be material to the patentability of this application as defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the national or PCT International filing date of this application.

(Application Number)	(Filing Date)	(Status - Patented, Pending, Abandoned)
(Application Number)	(Filing Date)	(Status - Patented, Pending, Abandoned)


I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: James E. Nilles, Reg. No. 16,663; Andrew J. Nilles, Reg. No. 31,786; James F. Boyle, Reg. No. 33,653; Timothy E. Newholm, Reg. No. 34,400; David D. Stein, Reg. No. 40,828; David G. Luetgen, Reg. No. 39,282; Bryan J. Lempia, Reg. No. 39,746; and Jay G. Durst, Reg. No. 41,723.

Address all telephone calls to Bryan J. Lempia at telephone number (414) 276-0977, facsimile number (414) 276-0982.

Address all correspondence to: **Andrew J. Nilles**
NILLES & NILLES, S.C.
 777 East Wisconsin Avenue, Suite 2000
 Milwaukee, Wisconsin 53202-5345

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor, if any (given name, family name): **Gajendra D. Savant**

Inventor's signature:  Date: 9/08/98
 Residence: **Torrance, California** Citizenship: **U.S.A.**
 Post Office Address: **3727 West 226th Street**
Torrance, California, 90505

Full name of second joint inventor (given name, family name): **Kevin H. Yu**

Inventor's signature:  Date: 9/8/98
 Residence: **Temple City, California** Citizenship: **U.S.A.**
 Post Office Address: **9708 Daines Drive**
Temple City, California 91780

Inventors: Gajendra D. Savant, Kevin H. Yu and Andrew A. Kostrzewski

Title: DIFFUSER MASTER AND METHOD OF MANUFACTURE

Full name of third joint inventor (given name, family name):

Andrew A. Kostrzewski

Inventor's signature



Date

9/11/98

Residence:

Garden Grove, California

Citizenship:

U.S.A.

Post Office Address:

9816 Grouse Court
Garden Grove, California 92641

Applicant/Patentee: Gajendra D. Savant, Kevin H. Yu and Andrew A. Kostrzewski
Serial or Patent No.: 09/137,398
Filed or Issued: August 20, 1998
For: DIFFUSER MASTER AND METHOD OF MANUFACTURE

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(F) AND 1.27(C)) - SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN Physical Optics Corporation
ADDRESS OF CONCERN 20600 Gramercy Place
Torrance, California 90501

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that the rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled DIFFUSER MASTER AND METHOD OF MANUFACTURE by inventors Gajendra D. Savant, Kevin H. Yu, and Andrew A. Kostrzewski described in

- ☐ the specification filed herewith
☒ application Serial No. 09/137,398, filed August 20, 1998
☐ patent No. _____, issued _____

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any persons, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME _____
ADDRESS _____
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

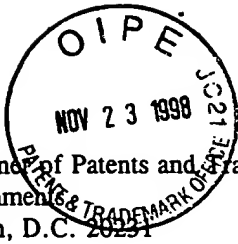
NAME _____
ADDRESS _____
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Joanna L. Jansson
TITLE OF PERSON OTHER THAN OWNER Chairman and President
ADDRESS OF PERSON SIGNING 20600 Gramercy Place
Torrance, California 90501

SIGNATURE  DATE 9/8/98



11-30-1998



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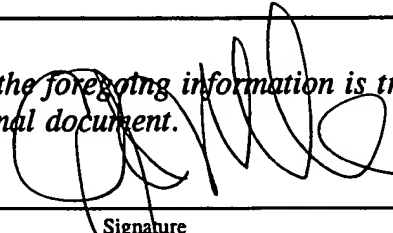
HEET

PATENT(S)

Commissioner of Patents and Trademark
Box Assignments & TRADEMARK OFFICE
Washington, D.C. 20231

11/23/98

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies): Gajendra D. Savant Kevin H. Wu Andrew A. Kostrzewski Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		2. Name and address of receiving party(ies): Physical Optics Corporation 20600 Gramercy Place, Suite 103 Torrance, California 90501 Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____ Execution Date: <u>September 11, 1998</u>			
4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application is: _____ A. Patent Application No.(s) <u>09/137,398</u> B. Patent No.(s) _____ Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
5. Name and address of party to whom correspondence concerning document should be mailed: Nilles & Nilles, S.C. Firststar Center 777 East Wisconsin Avenue, Suite 2000 Milwaukee, Wisconsin 53202-5345		6. Total number of applications and patents involved: <u>1</u> 7. Total fee (37 CFR 3.41): \$ <u>40.00</u> <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorized to be charged to deposit account 8. Deposit account number: <u>14-1080</u> (Attach duplicate copy of this page if paying by deposit account)	
DO NOT USE THIS SPACE			
9. Statement and signature. <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i> Andrew J. Nilles  November 20, 1998 Name of Person Signing Signature Date Total number of pages including cover sheet, attachments, and document: <u>2</u>			

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11/23/98 09:00:00 09/137/98

48.00 0

ASSIGNMENT

WHEREAS, we, Gajendra D. Savant, Kevin H. Yu, and Andrew A. Kostrzewski have made a certain new and useful invention for which we are about to make application for Letters Patent of the United States, which application may be identified in the United States Patent Office as Serial No. 09/137,398, filed August 20, 1998 and, entitled:

DIFFUSER MASTER AND METHOD OF MANUFACTURE

(Executed: Sept. 8 & 11, 1998)

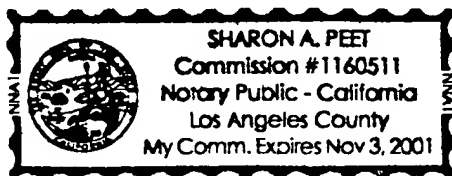
WHEREAS, Physical Optics Corporation, a corporation organized and existing under and by virtue of the laws of California and having its principal place of business in Torrance, California, is desirous of acquiring the entire interest in and to said invention, said application and the Letters Patent to be obtained therefor;

NOW, THEREFORE, for and in consideration of One Dollar and other good and valuable consideration to us in hand paid, the receipt and sufficiency whereof are hereby acknowledged, we have sold, assigned, and set over and by these presents do hereby sell, assign, and set over unto the said Physical Optics Corporation and said assignee's legal representative, successors and assigns, the entire right, title and interest in and to any and all applications including the aforesaid application, for Letters Patent heretofore and hereafter filed in the United States or any other country and which may be based in whole or in part on said inventions and discoveries, and in and to any and all Letters Patent heretofore or hereafter granted by the United States or any other country and which may be based in whole or in part on said inventions and discoveries, said assignment including the right to file and prosecute any and all such applications and also including the right to sue and recover for any and all such applications and also including the right to sue and recover for any and all infringements of said patents; and request the Commissioner of Patents to issue said Letters Patent to the above-mentioned assignee agreeably with the terms of this assignment.

WE HEREBY AUTHORIZE the above-mentioned assignee to insert in this instrument the filing date, execution date and serial number of our said application.

UPON SAID CONSIDERATION, we do hereby covenant for ourselves and our heirs, legal representatives and assigns that neither we nor any of our said heirs, legal representatives or assigns have or will execute any instrument or perform any act in conflict herewith and that we or our said heirs, legal representatives and assigns will at all times do such acts and execute such papers, without expense to ourselves, as may be necessary or desirable in order to fully protect said inventions and discoveries for the benefit of said assignee, its successors or assigns, and to otherwise carry into full force and effect the text and interest of this assignment.

IN WITNESS WHEREOF, we have hereunto set our hands and affixed our seals this 11 day of the month of September, 1998.



State of California)
)ss.
County of Los Angeles)

[Signature] (SEAL)
Gajendra D. Savant

[Signature] (SEAL)
Kevin H. Yu

[Signature] (SEAL)
Andrew A. Kostrzewski

On this 11 day of September, 1998, before me, a notary public in and for said county, appeared Gajendra D. Savant, Kevin H. Yu, and Andrew A. Kostrzewski who are personally known to me to be the same persons whose names are subscribed to the foregoing instrument, and they acknowledged that they signed, sealed and delivered the said instrument as their free and voluntary act for the uses and purposes therein set forth.

[Signature] (SEAL)
Notary Public
My Commission Expires: Nov. 3, 2001



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

MARCH 15, 1999

PTAS

NILLES & NILLES, S.C.
ANDREW J. NILLES
FIRSTAR CENTER, SUITE 2000
777 EAST WISCONSIN AVENUE
MILWAUKEE, WI 53202-5345



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UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT



THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 11/23/1998

REEL/FRAME: 9600/0721
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
SAVANT, GAJENDRA D.

DOC DATE: 09/11/1998

ASSIGNOR:
WU, KEVIN H.

DOC DATE: 09/11/1998

ASSIGNOR:
KOSTRZEWSKI, ANDREW A.

DOC DATE: 09/11/1998

ASSIGNEE:
PHYSICAL OPTICS CORPORATION
20600 GRAMERCY PLACE
SUITE 103
TORRANCE, CALIFORNIA 90501

SERIAL NUMBER: 09137398
PATENT NUMBER:

FILING DATE: 08/20/1998
ISSUE DATE:

9600/0721 PAGE 2

MAURICE CARTER, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS